

**IN THE UNITED STATES DISTRICT COURT  
DISTRICT OF MASSACHUSETTS**

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UNITED STATES OF AMERICA,

Plaintiff,

vs.

Crim. No. 17-10008-IT

STATE STREET CORPORATION

Defendant.

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**JOINT STATUS REPORT**

The parties respectfully submit this status report and request that the Court keep this matter open.

This deferred action is subject to the Deferred Prosecution Agreement (“DPA”) that the Government filed as an attachment to the pending Information. (ECF No. 1) The DPA provides for a three-year term, subject to extension, that runs from the date State Street retained the monitor contemplated in the agreement. State Street retained the monitor on September 15, 2017. The pandemic and resignation of the monitor (who has taken a position with the United States Securities and Exchange Commission) delayed completion of the monitor’s work. A replacement monitor was appointed but has not completed his report. In light of these circumstances, the parties have agreed to extend the DPA and monitorship terms until November 1, 2021, subject to possible extension or truncation of the terms depending on the monitor’s progress and State Street’s response to the monitor’s forthcoming report.

The DPA also provides that the Government need not dismiss the Information with prejudice until six months after the end of the DPA’s term. Accordingly, the parties jointly request that the Court keep this matter open and propose to submit another status report no later than October 15, 2021.

Respectfully submitted,

STATE STREET CORPORATION

By its attorneys:

/s/ John J. Butts

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By: /s/ Stephen E. Frank

Stephen E. Frank

Assistant United States Attorney

Dated: July 30, 2021

**CERTIFICATE OF SERVICE**

I, John J. Butts, hereby certify that this notice filed through the ECF system will be sent electronically to the registered participants as identified on the Notice of Electronic Filing (NEF) and paper copies will be sent by mail to those indicated as non-registered participants on this day.

/s/ John J. Butts

John J. Butts